

**STATE OF CALIFORNIA**  
**DEPARTMENT OF CORPORATIONS**  
**APPLICATION INFORMATION**  
**FOR A LENDER'S AND/OR BROKER'S LICENSE**  
**CALIFORNIA FINANCE LENDERS LAW**

The following is provided as general information to prospective applicants and is not to be construed as and is not an interpretation of the provisions of the California Finance Lenders Law (commencing with Section 22000 of the Financial Code). ). If you do not know if you need a license you should contact an attorney, as the Department does not offer legal advice.

**DEFINITION OF A "FINANCE LENDER"**

In general, a "Finance Lender" is defined as any person who is engaged in the business of making consumer loans or commercial loans. These loans may be unsecured, secured by personal property and for loans over \$5,000 secured by real property or a combination of real and personal property. The definition of a "Finance Lender" in its entirety is contained in Financial Code Section 22009.

**DEFINITION OF THE BROKER (NEGOTIATOR) LICENSE**

A broker license authorizes the licensee to engage in the business of negotiating loans or performing any act as a negotiator in connection with loans **made by a lender licensed under the California Finance Lenders Law**. Licensees are **not permitted** to broker loans to banks, savings & loans, credit unions, or thrift & loans under this license. A broker may **not** make any direct loans under this broker license.

**LICENSE APPLICATIONS**

- Application forms may be obtained from any office of the Department as well as from our website at [www.corp.ca.gov](http://www.corp.ca.gov). The office locations are as follows:

320 W. 4 <sup>th</sup> Street, Suite 750	Los Angeles, CA 90013	(213) 576-7500
71 Stevenson Street, Suite 2100	San Francisco, CA 94105	(415) 972-8559
1515 K Street, Suite 200	Sacramento, CA 95814	(916) 445-7205
1350 Front Street, Room 2034	San Diego, CA 92101	(619) 525-4233

- The Department's website, [www.corp.ca.gov](http://www.corp.ca.gov) now features a guide for CFL Applicants and a list of hints that will help any applicant through the application process.
- Questions regarding completing and filing an application are only taken in the Los Angeles office.
- Completed applications should be filed with the Los Angeles office. The application must be accompanied by \$300 in **non-refundable** fees (see Page 1 of the application).
- Under the law an applicant may be licensed as an individual, partnership, corporation or other form of "Person" as defined in Financial Code Section 22008. Once a license has been issued it is **not** transferable or assignable.
- **SURETY BOND REQUIRED:** Section 22112 was added to the California Finance Lenders Law on January 1, 1996. This section requires each licensee to obtain and maintain a surety bond in the amount of twenty five thousand dollars (\$25,000). Instructions and a surety bond form acceptable to the Department are enclosed in this packet.

## **GENERAL INFORMATION**

### **Federal Laws Applicable To Consumer Lenders**

The two comprehensive bodies of federal laws affecting lenders are the Truth in Lending Act, which is implemented by Regulation Z, and the Equal Credit Opportunity Act, which is implemented by Regulation B. Information concerning these laws and regulations may be obtained by calling the Federal Reserve Bank of San Francisco at (415) 974-2000.

### **Obtaining Copies of the California Finance Lenders Law and Regulations**

Each applicant is required to obtain and read Division 9 of the California Financial Code (commencing with Section 22000) known as the “California Finance Lenders Law” and the California Code of Regulations (contained in Title 10, Chapter 3, commencing with Section 1404) prior to the submission of the application package. You should obtain the California Finance Code and the Regulations **prior to the submission of the application to the Department.**

These items may be purchased from the following organizations:

West Group  
50 California Street  
19<sup>th</sup> Floor  
San Francisco, CA 94111  
(800) 888-3600  
7:30 – 4:30 Monday – Friday

The California Financial Services Association  
980 Ninth Street, Suite 2160  
Sacramento, CA 95814  
(916) 446-1207

**GENERAL REQUIREMENTS OF LICENSEES.** The following are a few of the areas that should be consider prior to filing an application for a California Finance Lenders License .

- Licensees are subject to periodic regulatory examinations that the licensee must pay for.
- Licensees must pay an annual assessment each year.
- Licensees must file an Annual Report by March 15<sup>th</sup> each year.
- Licensees are subject to statutory books and record requirements.
- Licensees are responsible for compliance with all applicable laws and regulations.
- Licensees must maintain a \$25,000 surety bond at all times.

(Department of Corporations Use Only)

Fee Paid \$ \_\_\_\_\_

Receipt No. \_\_\_\_\_

Leave this  
blank

DEPARTMENT OF CORPORATIONS

File No. \_\_\_\_\_

**STATE OF CALIFORNIA  
DEPARTMENT OF CORPORATIONS**

**APPLICATION FOR A LICENSE UNDER THE  
CALIFORNIA FINANCE LENDERS LAW**

Check the appropriate  
box to indicate the  
type of license you are  
applying for.

APPLICATION FOR A LICENSE AS A: ☐ **LENDER** ☐ **BROKER** ☐ **BOTH**

The application **must be accompanied** by a fee of \$300, which includes an application fee of \$200 and an investigation fee of \$100, both of which are **non-refundable**, (Financial Code Section 22103.) The application (together with the fee payable to the Department of Corporations) must be filed in the Los Angeles office of the Department of Corporations, located at 320 West 4<sup>th</sup> Street, Los Angeles, CA 90013.

The Department of Corporations has established time periods for the processing of permit applications as required by the Permit Reform Act (Government Code Section 15374, et seq.). These time periods are set forth in the regulations of the Department of Corporations at Financial Code Sections 1422(b) and 1423(b). Failure to comply with these time periods may be appealed to the Secretary of the Business, Transportation, and Housing Agency, 980 9<sup>th</sup> Street, Suite 2450, Sacramento, CA 95814-2719, pursuant to the regulations of the Secretary set forth in Chapter 6 (commencing with Section 7600) of Title 21 of the California Code of Regulations. Under certain circumstances, the Secretary may require the Department of Corporations to reimburse the applicant for the filing fees paid in connection with the application.

Place the legal name of your  
company here or your legal name.

1. Name of applicant: \_\_\_\_\_

Fictitious Business Name: \_\_\_\_\_

2. Applicant is organized and will do business as (check as applicable):

☐ an individual

☐ a partnership

☐ a corporation

☐ a limited liability company

☐ other (please specify)  
\_\_\_\_\_

Check the  
applicable  
box

See Exhibit F  
Put "None" if  
N/A

3. Applicant's licensed place of business shall be (Financial Code Section 22106):

Include  
the full  
address as  
requested

\_\_\_\_\_  
(Number and Street) (City) (County) (State) (Zip)

4. The following **must be completed** if the applicant is an:

Individual:

The **FULL** first, middle and last name (if no middle name, so indicate) of the individual.

\_\_\_\_\_  
(Name)

Those applying for a license as an individual must complete the enclosed form entitled Statement of Citizenship, Alienage, and Immigration Status. [See Exhibit D]

5. The following **must be completed** if the applicant is a:

☐ General Partnership ☐ Limited Partnership

Do not complete  
this item unless  
you are applying  
for the license as  
an "Individual"

The partnership applicant was organized on \_\_\_\_\_ in the  
State of \_\_\_\_\_ (Date)

The **FULL** first, middle (if no middle name, so indicate) and last name, and complete business address **MUST** be given for each general partner. Indicate if a general partner is the managing general partner.

If the  
General  
Partner  
is an  
entity,  
then list  
the  
officers  
and  
managers  
of that  
entity

\_\_\_\_\_  
(Name)

\_\_\_\_\_  
(Number and Street) (City) (State) (Zip)

\_\_\_\_\_  
(Name)

\_\_\_\_\_  
(Number and Street) (City) (State) (Zip)

\_\_\_\_\_  
(Name)

\_\_\_\_\_  
(Number and Street) (City) (State) (Zip)

6. The following **must be completed** if the applicant is a:

☐ Corporation

☐ Limited Liability Company

☐ Trust

☐ Other: \_\_\_\_\_

Check the box that applies

Applicant was organized on \_\_\_\_\_ in the State of \_\_\_\_\_.  
(Date)

Provide exact date (month, day, year) and state where organized.

The **FULL** first, middle (if no middle name, so indicate) and last name, **MUST** be given for each person named below: (Attach additional sheets, if necessary.)

***President/Chief Executive Officer:***

\_\_\_\_\_  
(Name)

***Executive Vice President/Vice President:***

\_\_\_\_\_  
(Name)

\_\_\_\_\_  
(Name)

***Secretary:***

\_\_\_\_\_  
(Name)

***Treasurer/Chief Financial Officer:***

\_\_\_\_\_  
(Name)

***Directors:***

\_\_\_\_\_  
(Name)

\_\_\_\_\_  
(Name)

\_\_\_\_\_  
(Name)

**Manager(s)/Member(s)** [i.e., a manager member of an association, or a manager appointed or elected by the members of a limited liability company]:

\_\_\_\_\_  
(Name)

\_\_\_\_\_  
(Name)

\_\_\_\_\_  
(Name)

**Trustee(s):**

\_\_\_\_\_  
(Name)

\_\_\_\_\_  
(Name)

\_\_\_\_\_  
(Name)

Any other officer with direct responsibility for the conduct of applicant's lending activity within the state:

\_\_\_\_\_  
(Name)

\_\_\_\_\_  
(Name)

\_\_\_\_\_  
(Name)

List any person, as defined in Financial Code Section 22008 (other than those persons listed above) that owns or controls, directly or indirectly, 10% or more of the applicant. (See Financial Code Section 22105):

\_\_\_\_\_  
(Name)

\_\_\_\_\_  
(Name)

\_\_\_\_\_  
(Name)

A response is required, except "Individual" applicants need not respond.

The **FULL** first, middle, last name, complete business address, telephone number, and e-mail address, if any, must be given for each of the person(s) who will be in charge of the place of business.

Complete  
this item  
as  
requested

(Name)	(Telephone no.)	(E-mail Address)
(Number and Street)	(City)	(State) (Zip)
(Name)	(Telephone no.)	(E-mail Address)
(Number and Street)	(City)	(State) (Zip)

7. Has the applicant been subject to any administrative action in any other state? If so, please provide details and attach a copy of any action. If NONE, so state. (Attach additional sheets, if necessary.)

Complete  
this item  
as  
requested

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8. Please describe, if applicable (Financial Code Sections 22250 & 22550), any business to be conducted on the applicant's premises for which the applicant would need to obtain the commissioner's authorization under Financial Code Section 22154. If NONE, so state.

Complete  
this item  
as  
requested

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9. Please provide the name, address, and telephone number of the bonding agent to whom the Department can direct questions regarding the surety bond required in Exhibit B below.

Complete  
this item  
as  
requested

(Bonding Agent)	(Telephone no.)
(Number and Street)	(City) (State) (Zip)

10. Please complete the following as it applies to your proposed method of operations (check all that apply):

Purpose of Loan: ☐ Commercial ☐ Consumer

Type of Collateral: ☐ Real property ☐ Personal property ☐ Unsecured

Minimum Loan Amount: \$ \_\_\_\_\_ \$ \_\_\_\_\_  
(Commercial) (Consumer)

**For Brokers License:**

☐ Loans will only be brokered to CFL licensed lenders

Check the appropriate boxes

**For Lenders License:**

☐ Source of funds will be exclusive of any funding advances from an institutional investor committed to purchasing the note.

Provide a short description of your business plan \_\_\_\_\_

Provide the description as required

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

11. Please complete the following if the applicant's principal place of business is to be located outside of the State of California (Financial Code Section 22106):

Check one box or the other as it applies. Do not check both boxes.

By checking the appropriate box below, the applicant attests that a board of directors' resolution (or the resolution of the governing body of a person not a corporation) has been passed electing one of the following options:

☐ I (we) agree to make available to the Commissioner of Corporations or the Commissioner's representatives, at a location in this state designated by the Commissioner of Corporations, or the Commissioner's representatives, the books, accounts, papers, records and files within 10 calendar days of any request from the Commissioner.

**OR**

☐ I (we) agree to pay the reasonable expenses for travel, meals, and lodging of the Commissioner of Corporations or the Commissioner's representatives incurred during any investigation or examination made at the licensee's location outside this state.

12. The following items **MUST BE** provided as Exhibits to the application:

**EXHIBIT A.** Please provide a balance sheet of the applicant as of a date not more than 90 days prior to the date this application is filed, that indicates a minimum net worth of \$25,000. (Financial Code Section 22104; the balance sheet may be unaudited.)

**EXHIBIT B.** Please provide a copy of a surety bond, including any and all riders and endorsements in the amount of \$25,000. Instructions and surety bond form acceptable to the Department of Corporations are enclosed. (Financial Code Section 22112.)

If unable to complete this form, you should seek the assistance of an accountant.



**EXHIBIT C.** Please provide, for each person named in Items 4, 5, & 6 of this application, a Statement of Identity Questionnaire, form enclosed. (Financial Code Section 22105.)

**EXHIBIT D. FOR INDIVIDUAL APPLICANTS ONLY.** Please complete the enclosed form entitled "Statement of Citizenship, Alienage, and Immigration Status For Application of Department of Corporations License or Certificate." (Title 10 C.C.R. Section 250.61.)

For  
"Individual"  
applicants  
only

**EXHIBIT E.** Please retain the enclosed form entitled "Customer Authorization of Disclosure of Financial Records and complete and return it to the Corporations Commissioner upon receipt of the license." A person named in Item 4, 5, or 6 of this application who is authorized to sign on behalf of the applicant must sign this form. (Financial Code Sections 22101, 22156.)

**EXHIBIT F.** If the applicant will be doing business under a fictitious business name, provide a copy of the Certificate of Filing and Proof of Publication, **both of which bear the County Clerk's filing stamp.** Refer to Section 17000 of the Business and Professions Code for the requirements of filing this statement. (Financial Code Section 22155.)

**EXHIBIT G.** Please provide two copies of all advertising proposed to be used in connection with the business to be licensed. If none, the Exhibit should so state. (California Code of Regulations Section 1550.)

**EXHIBIT H.** Please submit the following if the applicant is incorporated in the State of California (*domestic* corporation):

1. An **ORIGINAL** certificate of good standing or qualification duly executed not more than sixty days before filing this application by the Secretary of State of California showing that the applicant is authorized to do business in this State. **The certificate must also indicate the original date of incorporation.** (Financial Code Section 22101, 22150.)
2. A copy of the notice filed with the Department of Corporations that the initial issuance of shares of stock was entitled to an exemption pursuant to Section 25102 of the Corporations Code or was qualified for issuance in some other manner. (Financial Code Section 22101, 22150.)

**EXHIBIT I.** Please submit the following if the applicant is incorporated outside of the State of California (*foreign* corporation): (Financial Code Section 22101, 22150.)

1. A certificate of good standing or qualification duly executed not more than sixty days before filing this application by the Secretary of State of the foreign state, or other proper authority showing that the applicant is authorized to transact business in that state. **The certificate must also indicate the original date of incorporation.**
2. A certificate of good standing or qualification duly executed not more than sixty days before the filing of this application by the Secretary of State of California showing that the applicant is authorized to do business in California.

If you need assistance in filing this form, you should seek the assistance of an attorney.

3. A Consent to Service of Process (form enclosed). Service made pursuant to the terms of the consent to service of process shall have the same force and validity as if served personally on the applicant.
4. Name and address of the principal agent in California.

**EXHIBIT J.** If the applicant is a **Trust, Limited Partnership or Limited Liability Company** (*domestic* business entity) submit an **ORIGINAL** certificate of good standing, qualification, or other document duly executed not more than sixty days before filing this application by the Secretary of State of California showing that the applicant is authorized to do business in this State. **The certificate must also indicate the original date of incorporation.** (Financial Code Section 22101, 22150.)

**EXHIBIT K.** Please submit the following if the applicant is a **Trust, Limited Partnership or Limited Liability Company** organized outside of the State of California (*foreign* business entity): (Financial Code Section 22101, 22150.)

1. A certificate of good standing or qualification duly executed not more than sixty days before filing this application by the Secretary of State of the foreign state, or other proper authority showing that the applicant is authorized to transact business in that state. **The certificate must also indicate the original date of incorporation.**
2. A certificate of good standing or qualification duly executed not more than sixty days before the filing of this application by the Secretary of State of California showing that the applicant is authorized to do business in California.
3. A Consent to Service of Process (form enclosed). Service made pursuant to the terms of the consent to service of process shall have the same force and validity as if served personally on the applicant.
4. Name and address of the principal agent in California.

**EXHIBIT L. AFFIDAVIT REGARDING LAW AND RULES.** Please complete and attach the enclosed declaration regarding the applicant's knowledge of the California Finance Lenders Law and Rules. Only one responsible officer or director is required to complete this form.

Complete and  
submit the form  
as required

## EXECUTION SECTION

Please indicate the name, address, title, and telephone number of the person who should be contacted for information regarding this application. The license will also be mailed to this person **unless otherwise instructed.**

Attention: \_\_\_\_\_  
(Name) (Title) (Telephone Number)

\_\_\_\_\_  
(Number and Street) (City) (State) (Zip Code)

Email Address: \_\_\_\_\_

In the event of the issuance of a license, applicant agrees to comply with the requirements of the California Finance Lenders Law and rules adopted, and orders issued, by the Commissioner of Corporations, and further agrees that in the event of any change of its officers, directors, or any persons named in this application, that an amendment to the application reflecting such change shall within sixty days from the date of the change, be filed with the Commissioner of Corporations setting forth the change, the effective date of the change, the names of the persons involved in the change, and a statement of the qualifications of each successor person. (Financial Code Section 22105(a), California Code of Regulations Sections 1409, 1446.)

WHEREFORE, applicant requests that a license be issued by the Commissioner of Corporations authorizing applicant to engage in business under the California Finance Lenders Law within the State of California.

The applicant has duly caused this application to be signed on its behalf by the undersigned, thereunto duly authorized.

The undersigned, on behalf of the applicant, acknowledges that this application and all exhibits thereto which are not designated as confidential are subject to public inspection pursuant to Section 250.9.1, Chapter 3, Title 10, California Code of Regulations. A request for confidentiality of certain documents may be requested pursuant to Section 250.10. If a request for confidential treatment is granted (or denied), the person making such request will be notified in writing.

I declare under penalty of perjury that I have read the foregoing application, including all Exhibits attached thereto, or filed therewith, and know the contents thereof, and that the statements therein are true and correct.

Executed at \_\_\_\_\_  
Date \_\_\_\_\_

\_\_\_\_\_  
(Applicant)

\_\_\_\_\_  
(Signature of Declarant)

\_\_\_\_\_  
(Typed Name)

\_\_\_\_\_  
(Title)

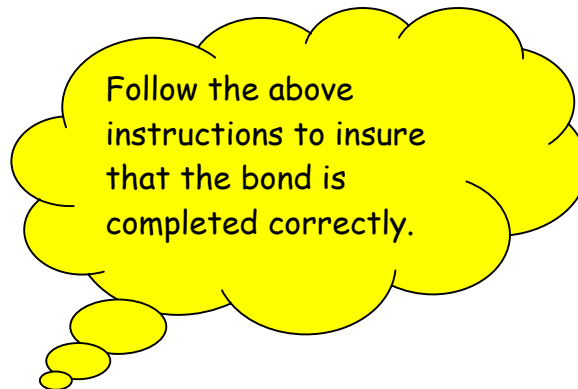
**STATE OF CALIFORNIA  
DEPARTMENT OF CORPORATIONS**

**INSTRUCTIONS FOR FILING OF SURETY BOND  
EXHIBIT B**

The attached form contains the approved format for the Surety Bond as required by Financial Code Section 22112. Every company is required to obtain and maintain a surety bond.

The original surety bond must be filed and must include all of the following:

1. The signature of the attorney-in-fact for the surety company.
2. A notarial jurat for the attorney-in-fact.
3. A power of attorney from the surety company.
4. Legal name of the licensee. Business name(s), if applicable, may also be included.
5. The signature of the licensee.
6. The notarial jurat for the signature of the licensee.



BEFORE THE  
DEPARTMENT OF CORPORATIONS  
OF THE  
STATE OF CALIFORNIA

BOND OF FINANCE LENDER AND/OR BROKER  
FINANCIAL CODE SECTION 22112

Bond No. \_\_\_\_\_

KNOW ALL MEN BY THESE PRESENTS:

That we \_\_\_\_\_,  
as Principal, whose address for service is  
\_\_\_\_\_  
(Street Address, City, State and ZIP Code)

and \_\_\_\_\_, a corporation,  
created, organized and existing under and by virtue of the laws of the State of \_\_\_\_\_ and  
an admitted Surety insurer authorized to transact a general Surety business in the State of California, as Surety  
whose address for service  
is \_\_\_\_\_,  
(Street Address, City, State and ZIP Code)

Name of principal  
must be exactly  
the same as the  
legal name.

are held and firmly bound unto the Commissioner of Corporations of the State of California, for the use thereof and for the use of any person or persons who may have a cause of action against the Principal under the provisions of the California Finance Lenders Law and all laws amendatory thereof and supplementary thereto now and hereafter enacted, in the total aggregate penal sum of \_\_\_\_\_ Dollars (\$\_\_\_\_\_) (see Financial Code Section 22112), lawful money of the United States of America, to be paid to the Commissioner of Corporations of the State of California, or to any person or persons, for the use and benefit aforesaid, for which payment well and truly to be made, we bind ourselves, our heirs, executors, administrators, successors and assigns, jointly and severally firmly by these presents.

The condition of the above obligation is such that--

WHEREAS, The above-named Principal has made application to the Commissioner of Corporations of the State of California for a license to engage in business under and pursuant to the provisions of the California Finance Lenders Law, and is required under the provisions of the California Finance Lenders Law to furnish a bond in the sum above named, conditioned as herein set forth:

NOW, THEREFORE, The Principal, and any and all agents and employees representing the Principal, shall faithfully conform to and abide by the provisions of the California Finance Lenders Law and all laws amendatory thereof and supplementary thereto now and hereafter enacted, and of all rules and regulations lawfully made by the Commissioner of Corporations of the State of California under the California Finance Lenders Law and shall honestly and faithfully apply all funds received and shall faithfully and honestly perform all obligations and undertakings under the California Finance Lenders Law, and shall pay to the Commissioner of Corporations of the State of California and to any person or persons, for the use and benefit aforesaid, any and all moneys which become due or owing the State or to any such person or persons from the Principal under and by virtue of the provisions of the California Finance Lenders Law.

This bond is subject to the following provisions:

1. That any person who sustains an injury covered by this bond may, in addition to any other remedy that he or she may have, bring an action in his or her own name upon this bond for the recovery of any damages sustained by him or her.

2. That the total aggregate liability of the Surety or sureties herein shall be limited to the payment of \_\_\_\_\_ Dollars (\$\_\_\_\_\_) (insert amount of the bond).
3. This bond may be canceled by the Surety in accordance with the provisions of Sections 996.320 and 996.330 of the Code of Civil Procedure of the State of California.
4. That, in the event either the Principal and/or the Surety under this bond are served with notice of any action commenced against the Principal or the Surety under the bond, the Principal and Surety as each is served with notice of action shall respectively and, within 10 days, give written notice of the filing of such action to the Commissioner of Corporations of the State of California, at the Los Angeles office of the Department of Corporations.
5. That, in the event the Surety under this bond makes full or partial payment on this bond the Surety shall immediately give written notice of such full or partial payment to the Commissioner of Corporations of the State of California, at the Los Angeles office of the Department of Corporations.
6. That the effective date of this bond shall be \_\_\_\_\_.

Applicant must sign this in the space provided. This signature must be notarized.

\_\_\_\_\_  
Signature of Principal

\_\_\_\_\_  
Typed or Printed Name of Principal

\_\_\_\_\_  
Executed at (City and State)

I certify (or declare) under penalty of perjury that I have executed the foregoing bond under an unrevoked power of Attorney.

Executed in \_\_\_\_\_ on \_\_\_\_\_  
(City and State) (Date)

under the laws of the State of California.

This signature must be notarized.

\_\_\_\_\_  
Signature of Attorney-in-Fact  
for Surety

\_\_\_\_\_  
Printed or typed name of  
Attorney-in-Fact for Surety

ALL OF THE ABOVE SIGNATURES MUST BE NOTARIZED

**NOTICE REQUIRED BY  
THE INFORMATION PRACTICES ACT  
(Cal. Civ. Code Sec. 1798.17)**

- (a) The Department of Corporations of the State of California, Financial Services Division, requests the information solicited by the forms attached to this notice.
- (b) The Assistant Commissioner, Administration, 1515 K Street, Sacramento, CA 95814, telephone (916) 445-5541, shall inform individuals regarding the location of the Department's records and the categories of persons who use the information in the Department's records.
- (c) The Department's records are maintained pursuant to one or more of the following statutes: Financial Code Sections 12201, 12204, 12216, 12220, 17201, 17209, 17209.1, 17213.5, 22101 and 50301.
- (d) Except for individual Social Security Account Numbers submission of all items of information requested by the attached form is mandatory.
- (e) Failure to provide all or any part of the information requested by the attached form may result in the denial of the license application or other authorization sought from the Department.
- (f) Information supplied by individuals will be used to determine ability to conduct business consistent with the statutory requirements for the license or other authorization applied for. Information will be used as follows: (1) initial processing of an application to make necessary findings for granting or denying the license or other authority applied for; (2) assuring compliance through continuing regulatory processes including references and comparisons of the information with regard to other laws administered by the Department, various regulatory and special investigatory examination reports, and other data; and (3) undertaking enforcement proceedings seeking appropriate administrative or civil remedies or to refer matters to appropriate federal, state or local law enforcement officers.
- (g) In furtherance of the purposes identified above information may be transferred to other federal, state or local regulatory or law enforcement agencies. Transfers may also be made to licensees or other persons subject to the jurisdiction of the Department in order to perform statutory duties.
- (h) Subject to certain exceptions or exemptions, the Information Practices Act grants individuals the right to access to personal information concerning the individual which is maintained by the Department of Corporations.

**DEPARTMENT OF CORPORATIONS  
STATE OF CALIFORNIA  
EXHIBIT C**

Indicate full middle  
name. If none,  
write N/A.

File No., if any

Licensee (Company Name)

(Insert Department of Corporations file number, company, and the name of the licensee (company) to which this Statement of Identity and Questionnaire relates.)

This document shall be treated by the Department of Corporations as being received in confidence pursuant to paragraph (4) of subdivision (d) of Section 6254 of the Government Code.

**STATEMENT OF IDENTITY AND QUESTIONNAIRE**

Exact Full Name \_\_\_\_\_  
(Please Print) First Name Middle Name Last Name

(Do not use initials or nicknames)

Position to be filled in connection with the preparation of this questionnaire (e.g. Officer, Director, Manager, etc.).

If none,  
write N/A

Sex \_\_\_\_\_ Hair \_\_\_\_\_ Eyes \_\_\_\_\_ Height \_\_\_\_\_ Weight \_\_\_\_\_

Birthdate \_\_\_\_\_ Birthplace \_\_\_\_\_

Social Security or Taxpayer's Identification No. \_\_\_\_\_ California Driver's License No. if any \_\_\_\_\_

NOTE: See Commissioner's Release 2-G regarding whether or not furnishing the social security number is mandatory or voluntary and for a description of the use made of that information.

Residence Phone No. \_\_\_\_\_ Business Phone No. \_\_\_\_\_ Hours of Employment \_\_\_\_\_

1. Residence addresses for the last 10 years:

From	To	Street	City	State
	Present			

Indicate month and  
year. Residence  
addresses must add  
up to 10 years.

**NOTE:** Attach separate schedule if space is not adequate



2. Employment for the last 10 years:

From	To	Employer Name and Address	Occupation and Duties
	Present		

Indicate month and year. Make sure employment adds up to 10 years.

Do not forget to provide employer addresses.

NOTE: Attach separate schedule if space is not adequate.

3. Have you ever been named in any order, judgment or decree of any court or any governmental agency or administrator, temporarily or permanently restraining or enjoining you from engaging in or continuing any conduct, practice or employment?  
☐ Yes ☐ No

If the answer is "Yes" give details:

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4. Have you ever been refused a license to engage in any business in this state or any other state, or has any such license ever been suspended or revoked?  
☐ Yes ☐ No

If the answer is "Yes" give details:

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5. **Have you ever been convicted of or pleaded nolo contendere to a misdemeanor or felony other than traffic violations?**  
*NOTE: "Convicted" includes a verdict of guilty by judge or jury, a plea of guilty or of nolo contendere or a forfeiture of bail. All convictions must be disclosed even if the plea or verdict was thereafter set aside and the charges against you dismissed or expunged or if you have been pardoned. Convictions occurring while you were a minor must be disclosed unless the record of conviction has been sealed under Section 1203.45 of the California Penal Code or Section 781 of the California Welfare and Institution Code.*

☐ Yes ☐ No

If the answer is "Yes" give details:

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6. Have you ever been a defendant in a civil court action other than divorce, condemnation or personal injury?  
☐ Yes ☐ No

If the answer is "Yes" please complete the following:

Date of suit \_\_\_\_\_ Location of court \_\_\_\_\_

Nature of suit \_\_\_\_\_

7. Have you ever been a subject of a bankruptcy or a petition in bankruptcy? [ ] Yes [ ] No

If the answer is "Yes" give date, title of case, location of bankruptcy filing:

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8. Have you ever been refused a bond, or have you ever had a bond revoked or canceled? [ ] Yes [ ] No

If the answer is "Yes" give details:

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9. Have you ever changed your name or ever been known by any name other than that herein listed?  
(Including a woman's maiden name) [ ] Yes [ ] No

If so, explain. Change in name through marriage or court order should also be listed. EXACT DATE OF EACH NAME CHANGE MUST BE LISTED.

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10. Have you ever done business under a fictitious firm name either as an individual or in the partnership or corporate form? [ ] Yes [ ] No

If the answer is "Yes" set forth particulars:

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NOTE: The following questions must be answered by all persons submitting this questionnaire in connection with an ESCROW AGENT'S LICENSE.

11. In what capacity will you be employed? \_\_\_\_\_  
(E.g., Clerk, Escrow Officer, Manager, Officer, Director, etc.)

12. Do you expect to be a party to, or broker or salesman in connection with escrows conducted by the escrow company which is employing you?

[ ] Yes [ ] No

If the answer is "Yes" please explain:

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NOTE: Attach separate schedule if space is not adequate.

This statement will be considered confidential information and will be filed and maintained as part of the confidential records not subject to public inspection.

## VERIFICATION

I, the undersigned, state that I am the person named in the foregoing Statement of Identity and Questionnaire; that I have read and signed said Statement of Identity and Questionnaire and know the contents thereof, including all exhibits attached thereto, and that the statements made therein, including any exhibits attached thereto, are true.

I certify/declare under penalty of perjury that the foregoing is true and correct.

Right hand  
signature  
block must be  
completed  
and signed.

Executed at \_\_\_\_\_ (City)

\_\_\_\_\_  
(County) (State)

this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.

\_\_\_\_\_  
(Signature of Declarant)

State of \_\_\_\_\_)

County of \_\_\_\_\_)

Date \_\_\_\_\_, 20\_\_\_\_\_

at \_\_\_\_\_

\_\_\_\_\_  
(Signature of Affiant)

Subscribed and sworn to before me

\_\_\_\_\_, 20\_\_\_\_\_

\_\_\_\_\_  
Notary Public in and for said County and State

Left hand signature  
block must be  
completed and signed  
in front of the notary  
public, if the form is  
executed outside of  
California.

**NOTE:** This verification may be made either before a Notary Public or as a declaration under penalty of perjury. This form **MUST** be executed before a notary public if it is executed **OUTSIDE** the State of California.

STATE OF CALIFORNIA  
DEPARTMENT OF CORPORATIONS

STATEMENT OF CITIZENSHIP, ALIENAGE, AND IMMIGRATION STATUS  
FOR APPLICATION OF DEPARTMENT OF CORPORATIONS  
LICENSE OR CERTIFICATE

This form must be completed by applicants who are applying as an "Individual."

Print Name of Applicant (the applicant is the individual who wants the license or certificate).	Date
Print Name of Person Acting for Applicant, if any.	Relationship to Applicant

**LICENSES AND CERTIFICATES TO CITIZENS AND ALIENS**

Citizens and nationals of the United States who meet all eligibility requirements and apply for a license or certificate must fill out Sections A and D of this form.

Aliens who meet all eligibility requirements and apply for a license or certificate must complete Sections A, B, C (if applicable), and D of this form.

**SECTION A: CITIZENSHIP/IMMIGRATION STATUS DECLARATION**

1. Is the applicant a citizen or national of the United States?  
Yes \_\_\_\_ No \_\_\_\_

If the answer to the above question is "Yes", where was he/she born?

\_\_\_\_\_  
(City/State)

2. To establish citizenship or nationality, please submit one of the documents on List A (attached hereto), which must be legible and unaltered to establish proof.

IF YOU ARE A CITIZEN OR NATIONAL OF THE UNITED STATES, PROCEED DIRECTLY TO SECTION D. IF YOU ARE AN ALIEN, PLEASE COMPLETE SECTION B, SECTION C (IF APPLICABLE), AND SECTION D.

**SECTION B: ALIEN STATUS DECLARATION**

**IMPORTANT:** Please indicate the applicant's alien status below, and submit documents evidencing such status. The alien status documents listed for each category are the most commonly used documents that the United States Immigration and Naturalization Service (INS) provides to aliens in those categories. You can provide other acceptable evidence of your alien status even if not listed below.

1. An alien lawfully admitted for permanent residence under the Immigration and Naturalization Act (INA). Evidence includes: [ ]
- INS Form I-551 (Alien Registration Receipt Card, commonly known as a "green card"); or
  - Unexpired Temporary I-551 stamp in foreign passport or on INS Form I-94.
2. An alien who is granted asylum under Section 208 of the INA. [ ]
- Evidence includes:
- INS Form I-94 annotated with stamp showing grant of asylum under Section 208 of the INA;
  - INS Form I-688B (Employment Authorization Card) annotated "274a.12(a)(5)";
  - INS Form I-766 (Employment Authorization Document) annotated "A5";
  - Grant letter from the Asylum Office of INS; or
  - Order of an immigration judge granting asylum.
3. A refugee admitted to the United States under Section 207 of the INA. Evidence includes: [ ]
- INS Form I-94 annotated with stamp showing admission under Section 207 of the INA;
  - INS Form I-688B (Employment Authorization Card) annotated "274a.12(a)(3)";
  - INS Form I-766 (Employment Authorization Document) annotated "A3"; or
  - INS Form I-571 (Refugee Travel Document).

4. An alien whose deportation is being withheld under section 243(h) of the INA (as in effect immediately prior to September 30, 1996) or Section 241(b)(3) of such Act (as amended by Section 305(a) of Division C of Public Law 104-208). Evidence includes: [ ]
  - INS Form I-688B (Employment Authorization Card) annotated "274a.12(a)(10)";
  - INS Form I-766 (Employment Authorization Document) annotated "A10"; or
  - Order from an immigration judge showing deportation withheld under section 243(h) of the INA as in effect prior to April 1, 1997, or removal withheld under section 241(b)(3) of the INA.
  
5. An alien who is granted conditional entry under Section 203(a)(7) of the INA as in effect prior to April 1, 1980. Evidence includes: [ ]
  - INS Form I-94 with stamp showing admission under Section 203(a)(7) of the INA;
  - INS Form I-688B (Employment Authorization Card) annotated "274a.12(a)(3)"; or
  - INS Form I-766 (Employment Authorization Document) annotated "A3".
  
6. An alien who is a Cuban or Haitian entrant (as defined in Section 501(e) of the Refugee Education Assistance Act of 1980). Evidence includes: [ ]
  - INS Form I-551 (Alien Registration Receipt Card, commonly known as a "green card") with the code CU6, CU7, or CH6;
  - Unexpired temporary I-551 stamp in foreign passport or on INS Form I-94 with the code CU6 or CU7; or
  - INS Form I-94 with stamp showing parole as "Cuban/Haitian Entrant" under Section 212(d)(5) of the INA.
  
7. An alien paroled into the United States for at least one year under Section 212(d)(5) of the INA. Evidence includes: [ ]
  - INS Form I-94 with stamp showing admission for at least one year under Section 212(d)(5) of the INA.  
(Applicant cannot aggregate periods of admission for less than one year to meet the one-year requirement.)
  
8. An alien paroled into the United States for less than one year under Section 212(d)(5) of the INA. (Evidence includes INS Form I-94 showing this status.) [ ]
  
9. An alien not in status categories 1 through 8 who has been admitted to the United States for a limited period of time (a non-immigrant). Non-immigrants are persons who have temporary status for a specific purpose. (Evidence includes INS Form I-94 showing this status.) [ ]

## SECTION C: DECLARATION FOR BATTERED ALIENS

**IMPORTANT:** Complete this section if the applicant, the applicant's child or the applicant child's parent has been battered or subjected to extreme cruelty in the United States.

1. Has the INS or the EOIR granted a petition or application filed by or on behalf of the applicant, the applicant's child, or the applicant's child's parent under the INA or found that a pending petition sets forth a prima facie case? Evidence includes one of the documents on List B (attached hereto). [ ]
  
2. Has the applicant, the applicant's child, or the applicant child's parent been battered or subjected to extreme cruelty in the United States by a spouse or parent, or by a spouse's or parent's family member living in the same house (where the spouse or parent consented to, or acquiesced in the battery or cruelty)? [ ]

## SECTION D:

**I DECLARE UNDER PENALTY OF PERJURY UNDER THE LAWS OF THE STATE OF CALIFORNIA THAT THE ANSWERS I HAVE GIVEN ARE TRUE AND CORRECT TO THE BEST OF MY KNOWLEDGE.**

Applicant's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Signature of Person  
Acting For Applicant: \_\_\_\_\_ Date: \_\_\_\_\_

Do not  
forget to  
sign and  
date.

## LIST A

A person who is a citizen or national of the United States.

### A. Primary Evidence

- A birth certificate showing birth in one of the 50 States, the District of Columbia, Puerto Rico (on or after January 13, 1941), Guam, the U.S. Virgin Islands (on or after January 17, 1917), American Samoa, Swain's Island or the Northern Mariana Islands, unless the person was born to foreign diplomats residing in the U.S.

Note: If the document shows that the individual was born in Puerto Rico, the U.S. Virgin Islands or the Northern Mariana Islands before these areas became part of the U.S., the individual may be a collectively naturalized citizen--see Paragraph C below.

- United States passport (except limited passports, which are issued for periods of less than five years);
- Report of birth abroad of a U.S. citizen (FS-240) (issued by the Department of State to U.S. citizens);
- Certificate of birth (FS-545) (issued by a foreign service post) or Certification of Report of Birth (DS-1350) (issued by the Department of State), copies of which are available from the Department of State;
- Certificate of Naturalization (N-550 or N-570) (issued by INS through a Federal or State court, or through administrative naturalization after December 1990 to individuals who are individually naturalized: The N-570 is a replacement certificate issued when the N-550 has been lost or mutilated or the individual's name has been changed);
- Certificate of Citizenship (N-560 or N-561) (issued by the INS to individuals who derive U.S. citizenship through a parent; the N-561 is a replacement certificate issued when the N-560 has been lost or mutilated or the individual's name has been changed);
- United States Citizen Identification Card (I-197) (issued by the INS until April 7, 1983 to U.S. citizens living near the Canadian or Mexican border who needed it for frequent border crossings) (formerly Form I-179, last issued in February 1974);
- Northern Mariana Identification Card (issued by the INS to a collectively naturalized citizen of the U.S. who was born in the Northern Mariana Islands before November 3, 1986);
- Statement provided by a U.S. consular officer certifying that the individual is a U.S. citizen (this is given to an individual born outside the U.S. who derives citizenship through a parent but does not have an FS-240, FS-545 or DS-1350); or
- American Indian Card with a classification code "KIC" and a statement on the back (identifying U.S. citizen members of the Texas Band of Kickapoos living near the U.S./Mexican border).

### B. Secondary Evidence

If the applicant cannot present one of the documents listed in A above, the following may be relied upon to establish U.S. citizenship or nationality:

- Religious record recorded in one of the 50 States, the District of Columbia, Puerto Rico (on or after January 13, 1941), Guam, the U.S. Virgin Islands (on or after January 17, 1917), American Samoa, Swain's Island or the Northern Mariana Islands (unless the person was born to foreign diplomats residing in such a jurisdiction) within three months after birth showing that the birth occurred in such jurisdiction and the date of birth or the individual's age at the time the record was made;
- Evidence of civil service employment by the U.S. government before June 1, 1976;
- Early school records (preferably from the first school) showing the date of admission to the school, the child's date and place of birth, and the name(s) and place(s) of birth of the parent(s);
- Census record showing name, U.S. citizenship or a U.S. place of birth, and date of birth or age of applicant;
- Adoption Finalization Papers showing the child's name and place of birth in one of the 50 States, the District of Columbia, Puerto Rico (on or after January 13, 1941), Guam, the U.S. Virgin Islands (on or after January 17, 1917), American Samoa, Swain's Island or the Northern Mariana Islands (unless the person was born to foreign diplomats residing in such a jurisdiction) or, where adoption is not finalized and the State or other jurisdiction listed above in which the child was born will not release a birth certificate prior to final adoption, a statement from a state-approved adoption agency showing the child's name and place

of birth in one of such jurisdictions (NOTE: the source of the information must be an original birth certificate and must be indicated in the statement); or

- Any other document that establishes a U.S. place of birth or in some way indicates U.S. citizenship (e.g., a contemporaneous hospital record of birth in that hospital in one of the 50 States, the District of Columbia, Puerto Rico (on or after January 13, 1941), Guam, the U.S. Virgin Islands (on or after January 17, 1917), American Samoa, Swain's Island or the Northern Mariana Islands (unless the person was born to foreign diplomats residing in such a jurisdiction).

#### C. Collective Naturalization

If the applicant cannot present one of the documents listed in A or B above, the following may be relied upon to establish U.S. citizenship for collectively naturalized individuals:

##### Puerto Rico:

- Evidence of birth in Puerto Rico on or after April 11, 1899 and the applicant's statement that he or she was residing in the U.S., a U.S. possession or Puerto Rico on January 13, 1941; or
- Evidence that the applicant was a Puerto Rican citizen and the applicant's statement that he or she was residing in Puerto Rico on March 1, 1917 and that he or she did not take an oath of allegiance to Spain.

##### U.S. Virgin Islands:

- Evidence of birth in the U.S. Virgin Islands, and the applicant's statement of residence in the U.S., a U.S. possession or the U.S. Virgin Islands on February 25, 1927;
- The applicant's statement indicating residence in the U.S. Virgin Islands as a Danish citizen on January 17, 1917 and residence in the U.S., a U.S. possession or the U.S. Virgin Islands on February 25, 1927, and that he or she did not make a declaration to maintain Danish citizenship; or
- Evidence of birth in the U.S. Virgin Islands and the applicant's statement indicating residence in the U.S., a U.S. possession or territory or the Canal Zone on June 28, 1932.

##### Northern Mariana Islands (NMI) (formerly part of the Trust Territory of the Pacific Islands (TTPI);

- Evidence of birth in the NMI, TTPI citizenship and residence in the NMI, the U.S., or a U.S. territory or possession on November 3, 1986 (NMI local time) and the applicant's statement that he or she did not owe allegiance to a foreign state on November 4, 1986 (NMI local time);
- Evidence of TTPI citizenship, continuous residence in the NMI since before November 3, 1981 (NMI local time), voter registration prior to January 1, 1975 and the applicant's statement that he or she did not owe allegiance to a foreign state on November 4, 1986 (NMI local time); or
- Evidence of continuous domicile in the NMI since before January 1, 1974 and the applicant's statement that he or she did not owe allegiance to a foreign state on November 4, 1986 (NMI local time). Note: If a person entered the NMI as a nonimmigrant and lived in the NMI since January 1, 1974, this does not constitute continuous domicile and the individual is not a U.S. citizen.

#### D. Derivative Citizenship

If the applicant cannot present one of the documents listed in A or B above, the following may be relied upon for a determination of derivative U.S. citizenship:

##### Applicant born abroad to two U.S. citizen parents:

- Evidence of the U.S. citizenship of the parents and the relationship of the applicant to the parents, and evidence that at least one parent residing in the U.S. or an outlying possession prior to the applicant's birth.

##### Applicant born abroad to a U.S. citizen parent and a U.S. non-citizen parent:

- Evidence that one parent is a U.S. citizen and that the other is a U.S. non-citizen national, evidence of the relationship of the applicant to the U.S. citizen parent and evidence that the U.S. citizen parent resided in the U.S., a U.S. possession, American Samoa or Swain's Island for a period of at least one year prior to the applicant's birth.

Applicant born out of wedlock abroad to a U.S. citizen mother:

- Evidence of the U.S. citizenship of the mother, evidence of the relationship to the applicant and, for births on or before December 24, 1952, evidence that the mother resided in the U.S. prior to the applicant's birth or, for births after December 24, 1952, evidence that the mother had resided, prior to the child's birth in the U.S. or a U.S. possession for a period of one year.

Applicant born in the Canal Zone or the Republic of Panama:

- A birth certificate showing birth in the Canal Zone on or after February 26, 1904 and before October 1, 1979 and evidence that one parent was a U.S. citizen at the time of the applicant's birth; or
- A birth certificate showing birth in the Republic of Panama on or after February 26, 1904 and before October 1, 1979 and evidence that at least one parent was a U.S. citizen and employed by the U.S. government or the Panama Railroad Company or its successor in title.

All other situations where an applicant claims to have a U.S. citizen parent and an alien parent, or claims to fall within one of the above categories but is unable to present the listed documentation:

- If the applicant is in the U.S., he or she may contact the local INS office for determination of U.S. citizenship;
- If the applicant is outside the U.S., he or she may contact the State Department for a U.S. citizenship determination.

E. Adoption of Foreign-Born Child by U.S. Citizen

- If the birth certificate shows a foreign place of birth and the applicant cannot be determined to be a naturalized citizen under any of the above criteria, other evidence of U.S. citizenship may be obtained;
- Since foreign-born adopted children do not automatically acquire U.S. citizenship by virtue of adoption by U.S. citizens, the applicant may contact the local INS district office for a determination of U.S. citizenship if the applicant provides no evidence of U.S. citizenship.

F. U.S. Citizenship by Marriage

A woman acquired U.S. citizenship through marriage to a U.S. citizen before September 22, 1922. Evidence of U.S. citizenship of the husband, and evidence showing the marriage occurred before September 22, 1922.

Note: If the husband was an alien at the time of the marriage, and became naturalized before September 22, 1922, the wife also acquired naturalized citizenship. If the marriage terminated, the wife maintained her U.S. citizenship if she was residing in the U.S. at that time and continued to reside in the U.S.

## LIST B

A. Documentation Evidencing an Approved Petition or Application

- INS Form I-551 ("Resident Alien Card" or "Alien Registration Receipt Card" commonly known as a "green card") with one of the following INS class of admission ("COA") codes printed on the front of a white card or the back of a pink card; AR1, AR6, C20 through C29, CF1, CF2, CR1, CR2, CR6, CR7, CX1 through CX3, CX6 through CX8, F20 through F29, FX1 through FX3, FX6 through FX8, IF1, IF2, IR1 through IR4, IR6 through IR9, IW1, IW2, IW6, IW7, MR6, MR7, P21 through P23, or P26 through P28.

If an alien claiming approved status presents a code different than those enumerated, or if the class of admission from the I-551 stamp cannot be determined, INS Form G-845, and G-845 Supplement (mark item six on the Supplement) along with a copy of the document(s) presented may be filed with the local INS office in order to determine whether the applicant gained his or her status because he or she was the spouse, widow, or child of a U.S. citizen or the spouse, child, or unmarried son or daughter of an LPR (lawful permanent resident).

- INS Form I-551 with one of the following COA codes stamped on the lower left side of the back of a pink card: IB1 through IB3, IB6 through IB8, B11, B12, B16, B17, B20 through B29, B31 through B33, B36 through B38, BX1 through BX3, or BX6 through BX8.
- INS Form I-551 with COA code Z13.
- Unexpired Temporary I-551 stamp in foreign passport or on INS Form I-94 with one of the COA codes specified in the Subsections (1)-(3), above.



- INS Form I-797 indicating approval of an INS I-130 petition (only I-130 petitions describing the following relationships may be accepted: husbands or wives of U.S. citizens or LPRs, unmarried children under 21 years old of U.S. citizens or LPRs, or unmarried children 21 or older of LPRs), or approval of an I-360 petition (only I-360 approvals based on status as a widow/widower of a U.S. citizen or as a self-petitioning spouse or child of an abusive U.S. citizen or LPR may be accepted).
  - A final order of an Immigration Judge or the Board of Immigration Appeals granting suspension of deportation under Section 244(a)(3) of the INA as in effect prior to April 1, 1997, or cancellation of removal under Section 240A(b)(2) of the INA.
- B. Documentation Demonstrating that the Applicant has Established a Prima Facie Case
- INS Form I-797 indicating that the applicant has established a prima facie case; or
  - An immigration court or Board of Immigration Appeals order indicating that the applicant has established a prima facie case for suspension of deportation under INA Section 244(a)(3) as in effect prior to April 1, 1997, or cancellation of removal under Section 240A(b)(2) of the INA.
- C. Documentation indicating that the Applicant has Filed a Petition or that a Petition has been Filed on the Applicant's Behalf, as Applicable, but with no Evidence of Approval of the Petition or Establishment of a Prima Facie Case

Based on the documentation, the filing date of the petition may be determined and the following actions may be taken:

- Applicants with petitions filed before June 7, 1997 should have an INS Form I-797 indicating filing of the I-360 petition by "self-petitioning spouse [or child] of abusive U.S.C. or LPR," a file-stamped copy of the petition, or another document demonstrating filing (including a cash register or computer-generated receipt indicating filing of Form I-360).
  - Applicants with petitions filed after June 7, 1997 should have an INS Form I-797 indicating filing of the I-360 petition.
- D. Documentation Indicating that the Applicant has filed a Petition or that a Petition was filed on His or Her Behalf, as Applicable

The following must indicate that the applicant is the widow/widower of a U.S. citizen, the husband or wife of a U.S. citizen or LPR, the unmarried child under age 21 of a U.S. citizen or LPR, or the unmarried child age 21 or older of an LPR):

- For aliens on whose behalf a petition has been filed: INS Form I-797 indicating filing of an INS I-130 petition, a file-stamped copy of the petition, or another document demonstrating filing (including a cash register or computer-generated receipt indicating filing of Form I-130).
  - For self-petitioning widows or widowers: a file-stamped copy of the INS I-360 petition, or another document demonstrating filing (including a cash register or computer-generated receipt indicating filing of Form I-360).
- E. Documentation Indicating that the INS has Initiated Deportation or Removal Proceedings in which Relief may be Available
- an "Order to Show Cause";
  - a "Notice to Appear"; or
  - a "Notice of Hearing in Deportation Proceedings."
- F. Minimal or no Documentation Regarding the Claimed Filing

If the applicant has some documentation, but it is insufficient to demonstrate filing, establishment of prima facie case or approval of a petition, the INS Request Form on agency letterhead, as well as a copy of any document(s) provided by the applicant, may be faxed to the INS Vermont Service Center in order to determine the applicant's status. If the applicant has no documentation, but is certain that a petition has been filed by his or her spouse or parent, the INS Request Form may be faxed to the INS Vermont Service Center.

**STATE OF CALIFORNIA  
DEPARTMENT OF CORPORATIONS**

**CUSTOMER AUTHORIZATION FOR DISCLOSURE OF  
FINANCIAL RECORDS  
EXHIBIT E**

Pursuant to Financial Code Section 22156 and Government Code Section 7473, any financial institution, wherever situated, possessing financial records of

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(Name of Company as appears on Application)

Licensed under the **CALIFORNIA FINANCE LENDERS LAW**

is hereby authorized to disclose to the California Department of Corporations records of the above-named business licensed under the above-described Act, whether such records relate to accounts which have been closed, accounts which are currently maintained, or accounts which are hereafter established.

This authorization is effective as of the date of execution and shall remain effective until five years after the expiration or revocation of the above-named business licensed under the above-described Act, including renewals of such license.

This authorization may not be revoked.

The terms used in this authorization shall have the definitions contained in the California Right to Financial Privacy Act (Government Code Section 7460 et seq.), and the California Finance Lenders Law (Financial Code Section 22000 et seq.).

The above-named licensee has duly caused this authorization to be signed on its behalf by the undersigned, thereunto duly authorized.

Executed on \_\_\_\_\_ at \_\_\_\_\_  
(Provide date and city where executed)

Complete all of  
the blank spaces  
above

\_\_\_\_\_  
(Name of Licensee)

By

\_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Title)

*STATE OF CALIFORNIA*

*DEPARTMENT OF CORPORATIONS*

*INSTRUCTIONS FOR CUSTOMER AUTHORIZATION  
FOR DISCLOSURE OF FINANCIAL RECORDS FORM*

On the reverse side is a Customer Authorization for Disclosure of Financial Records form. The Commissioner of Corporations is authorized to require such authorization from licensees and other persons pursuant to the authority cited in Financial Code Section 22156

The form must be properly executed and submitted prior to the issuance of a license, qualification, registration, or other authority, and as a condition thereof.

All information required on the form, except the signature of the person executing the form, is to be typewritten.

If additional authorization forms are needed, they may be obtained from any office of the Department of Corporations, or an accurate copy of the form may be used by applicant.

**STATE OF CALIFORNIA  
TO THE COMMISSIONER OF CORPORATIONS OF  
THE STATE OF CALIFORNIA**

**CONSENT TO SERVICE OF PROCESS  
EXHIBITS I AND K**

**KNOW ALL MEN BY THESE PRESENTS:**

That the undersigned, \_\_\_\_\_ (a corporation, partnership or limited liability company organized under the laws of the State of \_\_\_\_\_), (an individual), (other \_\_\_\_\_) hereby irrevocably appoints the Commissioner of Corporations of the State of California, or the Commissioner's successor in office, to be the undersigned's attorney to receive service of any lawful process in any noncriminal suit, action or proceeding against the undersigned, or the undersigned's successor, executor, or administrator which arises under the California Finance Lenders Law or any rule or order thereunder after this consent has been filed, with the same force and validity as if served personally on the undersigned.

For the purpose of compliance with the California Finance Lenders Law, notice of the service and a copy of the process should be sent by registered or certified mail to the undersigned at the following address:

\_\_\_\_\_  
(Name and Address)  
\_\_\_\_\_

Dated: \_\_\_\_\_

By \_\_\_\_\_

Title \_\_\_\_\_

**ACKNOWLEDGEMENT**

STATE OF \_\_\_\_\_)  
COUNTY OF \_\_\_\_\_)

On \_\_\_\_\_ before me, (here insert name and title of the officer), personally appeared \_\_\_\_\_ personally known to me (or provided to me on the basis of satisfactory evidence) to be the person(s) who/whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument are the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

Signature \_\_\_\_\_ (Seal)

Any certificate of acknowledgement taken in another place shall be sufficient in this state if it is taken in accordance with the laws of the place where the acknowledgement is made.

**STATE OF CALIFORNIA  
DEPARTMENT OF CORPORATIONS  
AFFIDAVIT REGARDING LAW & RULES  
CALIFORNIA FINANCE LENDERS/BROKERS LICENSE  
EXHIBIT L**

In the matter of the Application for a License under the California Finance Lenders Law, I, the undersigned, authorized to act on behalf of the applicant, declare that the following statements are true and correct:

1. ***I (we) have obtained and read copies of the California Finance Lenders Law (Division 9 of the California Financial Code) and the Finance Company Rules (Chapter 3, Title 10, California Code of Regulations) and am familiar with their content.***
2. I (we) agree to comply with all of the provision of the California Finance Lenders Law and Finance Company Rules.

Additionally, by signing this declaration as provided for on the Execution Page, the applicant hereby agrees (or attests) or declares their understanding of the following items listed below:

1. That the brokers license issued pursuant to this Division does not provide the authority to broker loans to a lender that are not licensed as finance lenders as defined in Section 22009 and that finance lenders may not pay compensation for brokerage services (i.e. brokerage commission, finders fee, referral fees, etc.) to anyone not licensed as a broker under this Division, except for those exempt persons as provided for in Section 1451 of the Rules.
2. That the applicant will maintain staff adequate to meet the requirements of the California Finance Lenders Law, as prescribed by rule or order of the Commissioner of Corporations.
3. That the applicant will keep and maintain for 24 months from the date of final entry the business records and other information required by law or rules of the Commissioner of Corporations regarding any mortgage loan made or serviced in the course of the conduct of its business.
4. That the applicant will file with the Commissioner of Corporations any report required by the Commissioner.
5. That the applicant will file with the Commissioner of Corporations an amendment to this application prior to any material change in the information contained in the application for licensure, including, without limitation, the plan of operation.
6. That the applicant will submit to periodic examinations by the Commissioner of Corporations as required by the California Finance Lenders Law.
7. That the applicant will maintain a register of all loans made or brokered under this license that will be updated at least monthly, and that the information maintained in the register will include the name and address of the borrower, account number, amount of loan, date of loan, terms, total of payments and the annual percentage rate, and that the register will also show the account number, name of borrower and payoff date of all loans paid in full.
8. That the applicant will hereby attests that the applicant (including officers, directors and principals) has not engaged in conduct that would be cause for denial of a license. Only one declaration required for each applicant.

I declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Executed on \_\_\_\_\_ at \_\_\_\_\_.  
(date) (place)

\_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Print name and title)

**DEPARTMENT OF CORPORATIONS**  
*California's Investment and Financing Authority*



**NOTICES REQUIRED UNDER STATE AND FEDERAL LAW**

**I. INFORMATION PRACTICES ACT OF 1977**  
**(California Civil Code Section 1798.17)**

(a) The Department of Corporations of the State of California, is requesting the information specified in the application for registration, qualification, a certificate or a license.

(b) The Deputy Commissioner, Office of Management and Budget, 1515 K Street, Suite 200, Sacramento, California, 95814, telephone (916) 445-5541, is responsible for the system of records and shall, upon request, inform individuals regarding the location of the Department of Corporations' records and the categories of persons who use the information in the records.

(c) The records are maintained pursuant to one or more of the following laws: the Corporate Securities Law of 1968 (Corporations Code Section 25000, et seq.); the Capital Access Company Law (Corporations Code Section 28000, et seq.); the Bucket Shop Law (Corporations Code Section 29000, et seq.); the California Commodity Law of 1990 (Corporations Code Section 29500, et seq.); the Franchise Investment Law (Corporations Code Section 31000, et seq.); the Check Sellers, Bill Payers and Proraters Law (Financial Code Section 12000, et seq.); the California Deferred Deposit Transaction Law (Financial Code Section 23000, et seq.); the Escrow Law (Financial Code Section 17000, et seq.); the California Finance Lenders Law (Financial Code Section 22000, et seq.); the Securities Depository Law (Financial Code Section 30000, et seq.); and the California Residential Mortgage Lending Act (Financial Code Section 50000, et seq.).

(d) The submission of all items of information is mandatory unless otherwise noted. Section 17520 of the Family Code requires the Department of Corporations to collect social security numbers from all applicants. The Privacy Act of 1974 prohibits a state agency from denying an individual any right, benefit or privilege provided by law because of the individual's refusal to disclose the individual's social security account number.

(e) Failure to provide all or any part of the information requested may preclude the Department of Corporations from approving the application.

(f) The principal purposes within the Department of Corporations for which the information is to be used are to determine whether (1) a license, qualification,

registration, certificate or other authority should be accepted, granted, approved, denied, revoked or limited in any way; (2) business entities or individuals licensed or otherwise regulated by the Department of Corporations are conducting themselves in accordance with applicable laws; and/or (3) laws administered by the Department of Corporations are being or have been violated and whether administrative action, civil action, or referral to appropriate federal, state or local law enforcement or regulatory agencies, or to a self-regulatory organization, as authorized by law, is appropriate.

(g) Any known or foreseeable disclosures of the information pursuant to subdivision (e) or (f) of Civil Code Section 1798.24 may include transfers to other federal, state, or local law enforcement or regulatory agencies, or to a self-regulatory organization, as authorized by law.

(h) Subject to certain exceptions or exemptions, the Information Practices Act grants an individual a right of access to personal information concerning the requesting individual that is maintained by the Department of Corporations.

## **II. FEDERAL PRIVACY ACT OF 1974 (Public Law 93-579)**

In accordance with Section 7 of the Privacy Act of 1974 (found at 5 U.S.C. § 552a note (Disclosure of Social Security Number)), the following is information on whether the disclosure of a social security account number is voluntary or mandatory, by what statutory or other authority such number is solicited, and what uses will be made of it.

(1) Section 17520 of the Family Code requires the Department of Corporations to collect social security numbers from all applicants. The Privacy Act of 1974 prohibits a state agency from denying an individual any right, benefit or privilege provided by law because of the individual's refusal to disclose the individual's social security account number.

(2) A social security account number is solicited pursuant to one or more of the following authorities: the Corporate Securities Law of 1968 (Corporations Code Section 25000, et seq.); the Capital Access Company Law (Corporations Code Section 28000, et seq.); the Bucket Shop Law (Corporations Code Section 29000, et seq.); the California Commodity Law of 1990 (Corporations Code Section 29500, et seq.); the Franchise Investment Law (Corporations Code Section 31000, et seq.); the Check Sellers, Bill Payers and Proraters Law (Financial Code Section 12000, et seq.); the Escrow Law (Financial Code Section 17000, et seq.); the California Finance Lenders Law (Financial Code Section 22000, et seq.); the California Deferred Deposit Transaction Law (Financial Code Section 23000, et seq.); the Securities Depository Law (Financial Code Section 30000, et seq.); the California Residential Mortgage Lending Act (Financial Code Section 50000, et seq.); and the regulations adopted thereunder, as well as Section 17520 of the Family Code.

(3) For all persons disclosing a social security account number, the number may be used, in addition to other information provided, to conduct a background investigation of the individual by the Department of Justice's Identification and Information Branch or by other federal, state or local law enforcement agencies, or a self-regulatory organization, as authorized by law. The social security number may also be used to respond to requests for this number made by child support agencies.

### **III. THE PERMIT REFORM ACT OF 1981 (Government Code Section 15378(b))**

The Department of Corporations has established time periods for processing an application from the receipt of the initial application to the final application decision. An applicant may appeal directly to the Business, Transportation & Housing Agency for a timely resolution of any dispute arising from a violation of the time periods. Information regarding the appeal process may be found in Title 21, Chapter 6 of the California Code of Regulations, entitled Regulations Relating to Appeals Under the Permit Reform Act of 1981.